

FORM PTO-1449/A and B (Modified)			APPLICATION NO.: 09/316,199	ATTY. DOCKET NO.: C1040.70006US00
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			FILING DATE: May 21, 1999	CONFIRMATION NO.: 7506
			APPLICANT: McCluskie et al.	
			GROUP ART UNIT: 1632	EXAMINER: Dave Nguyen
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U.S. PATENT DOCUMENTS

Examiner's Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication or of issue of Cited Document MM-DD-YYYY
		Number	Kind Code		
W	A1	6,174,872		Carson et al.	01/16/2001
	A2	6,194,388		Krieg et al.	02/27/2001
	A3	6,207,646		Krieg et al.	03/27/2001
	A4	6,214,806		Krieg et al.	04/10/2001
	A5	6,218,371		Krieg et al.	04/17/2001
	A6	6,239,116		Krieg et al.	05/29/2001
	A7	6,339,068		Krieg et al.	01/15/2002
	A8	6,406,705		Davis et al.	06/18/2002
	A9	6,429,199		Krieg et al	08/06/2002
	A10	6,514,948		Raz et al.	02/04/2003
	A11	6,562,798		Schwartz	05/13/2003
	A12	6,589,940		Raz et al.	07/08/2003
V	A13	6,610,661		Carson et al.	08/26/2003
V	A14	6,613,751		Raz et al.	09/02/2003

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		Office/Country	Number	Kind Code			
W	/	US	20020055477A1		Nest et al.	05/09/2002	
	/	US	20020142978A1		Raz et al.	10/03/2002	
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	/	US	20030026782A1		Krieg et al.	02/06/2003	
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	/	US	20030119773A1		Raz et al.	06/26/2003	
	/	US	20030147870A1		Raz et al.	08/07/2003	
	/	US	20030186921A1		Carson et al.	10/02/2003	
	·	WO	98/16247		The Regents of The University of California	04/23/1998	
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	·	WO	99/62923		Dynavax	12/09/1999	
	·	WO	00/20039		The Regents of The University of California	04/13/2000	
	·	WO	00/21556 A1		Dynavax	04/20/2000	
	·	WO	01/02007 A1		The Regents of The University of California	01/11/2001	
V	·	WO	01/12223 A2		Dynavax	02/22/2001	

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OTHER ART – NON PATENT LITERATURE DOCUMENTS

Examiner's Initials	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
DN	C1	Choi AH et al., "The level of protection against rotavirus shedding in mice following immunization with a chimeric VP6 protein is dependant on the route and the coadministered adjuvant", <i>Vaccine</i> . 2002 Mar 15;20(13-14): 1733-40.	
	C2	Davis, HL, "Use of CpG DNA for enhancing specific immune responses", <i>Curr Top Microbiol Immunol</i> . 2000; 247: 171-83.	
	C3	Dumais, N. et al., "Mucosal immunization with inactivated human immunodeficiency virus plus CpG oligodeoxynucleotides induce genital immune responses and protection against intravaginal challenge", <i>J. Infect. Dis.</i> 2002 Oct 15; 186(8):1098-105. Epub 2002 Sept.	
	C4	Gallichan, W. Scott et al., "Intranasal Immunization with CpG Oligodeoxynucleotides as an Adjuvant Dramatically Increases IgA and Protection Against Herpes Simplex Virus-2 in the Genital Tract", <i>The Journal of Immunology</i> , 2001, 166: 3451-3457.	
	C5	Hartmann, G et al., "Delineation of a CpG Phosphorothiaote Oligodeoxynucleotide for Activating Primate Immune Responses In Vitro and In Vivo", <i>The Journal of Immunology</i> , 2000, 164: 1617-1624.	
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	C8	Krieg, AM et al., "Bacterial DNA or oligonucleotides containing CpG motifs protect mice from lethal <i>L. monocytogenes</i> challenge", Abstract from 1996 meeting on <i>Molecular Approaches to the Control of Infectious Diseases</i> , Cold Spring Harbor Laboratory, September 9-13, 1996. p.116.	
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	C11	Krieg, AM et al., "Enhancing vaccines with immune stimulatory CpG DNA", <i>Curr Opin Mol Ther</i> . 2001 Feb; 3(1):15-24	
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	C15	McCluskie, MJ et al., "Muscol immunization with DNA vaccines", <i>Microbes Infect</i> . 1999 Jul; 1(9): 685-98.	
	C16	McCluskie, MJ et al., "CpG DNA as mucosal adjuvant", <i>Vaccine</i> . 1999 Sep; 18(3-4): 231-7.	
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	C18	McCluskie, MJ et al., "CpG DNA is an effective oral adjuvant to protein antigens in mice", <i>Vaccine</i> . 2000 Nov 22; 19(7-8): 950-7.	
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Examiner's Initials	Cite No	Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published.	Translation (Y/N)
<i>D</i>	C20	McCluskie, MJ et al., "Oral, intrarectal and intranasal immunizations using CpG and non-CpG oligodeoxynucleotides as adjuvants", <i>Vaccine</i> 19 (2001) 413-422	
	<i>C21</i>	McCluskie, MJ et al., "The potential of CpG oligodeoxynucleotides as mucosal adjuvants", <i>Crit Rev Immunol</i> . 2001; 21(1-3): 103-20	
	<i>C22</i>	McCluskie, MJ et al., "The use of CpG DNA as mucosal vaccine adjuvant", <i>Curr Opin Investig Drugs</i> . 2001 Jan; 2(1): 35-9.	
	<i>C23</i>	McCluskie, MJ et al., "The potential of oligodeoxynucleotides as mucosal and parenteral adjuvants", <i>Vaccine</i> . 2001 Mar 21; 19(17-19): 2657-60.	
	<i>C24</i>	McCluskie, MJ et al., "Mucosal immunization of mice using CpG DNA and/or mutants of the heat-labile enterotoxin of Escherichia coli as adjuvants", <i>Vaccine</i> . 2001 Jun 14; 19(27): 3759-68.	
	<i>C25</i>	McCluskie, MJ et al., "Parenteral and mucosal prime-boost immunization strategies in mice with hepatitis B surface antigen and CpG DNA", <i>FEMS Immunol Med Microbiol</i> . 2002 Feb 18; 32(3): 179-85.	
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	<i>C27</i>	Payette PJ et al., "History of vaccines and positioning of current trends", <i>Curr Drug Targets Infect Disord</i> . 2001 Nov; 1(3): 241-7.	
	<i>C28</i>	Sajic D et al., "Parameters of CpG oligodeoxynucleotide-induced protection against intravaginal HSV-2 challenge", <i>J Med Virol</i> . 2003 Dec; 71(4):561-568.	
	<i>C29</i>	Weeratna, RD et al., "CpG ODN allows lower doses of antigen against hepatitis B surface antigen in BALB/c mice", <i>Immunol Cell Biol</i> . 2003 Feb; 81(1): 59-62.	
	<i>C30</i>	Weeratna, RD et al., "CpG ODN can redirect the Th bias of established Th2 immune responses in adult and young mice", <i>FEMS Immunol Med Microbiol</i> . 2001 Dec; 32(1): 65-71.	
	<i>C31</i>	Weeratna, RD., "Priming of immune responses to hepatitis B surface antigen in young mice immunized in the presence of maternally derived antibodies", <i>FEMS Immunol Med Microbiol</i> . 2001 Apr; 30(3): 241-7.	
	<i>C32</i>	Weeratna, RD, "CpG DNA induces stronger immune responses with less toxicity than other adjuvants", <i>Vaccine</i> . 2000 Mar 6; 18(17): 1755-62.	

EXAMINER	<i>D</i>	DATE CONSIDERED	<i>2/1/04</i>
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#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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FORM MM-D-1449 (Modified)		ATTY. DOCKET NO.	SERIAL NO.
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		C1040/7006	09/316,199

APPLICANT McCluskie et al.

FILING DATE May 21, 1999

GROUP

U.S. PATENT DOCUMENTS

Exam Init	Ref Des	Document No.	Date	Name	Class	Sub Class	FILING DATE If Appropriate
✓	A1	3,906,092	09/16/75	Hilleman et al.			
	A2	5,248,670	09/28/93	Draper et al.	514	44	
	A3	5,585,479	12/17/96	Hoke et al.	536	24.5	
	A4	5,663,153	09/02/97	Hutcherson et al.	514	44	
	A5	5,786,189	07/28/98	Locht et al.	435	172.3	
	A6	5,849,719	12/15/98	Carson et al.	514	44	
	A7	5,723,335	03/03/98	Hutcherson, et al.	435	375	

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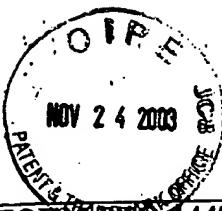
		Country & Doc. No. (11)	Pub. Date (43)		Class	Sub Class	Translation Yes No
✓	B1	WO 91/12811	09/05/91	PCT	A61K	31/70	
	B2	0468520	01/29/92	EPO	A61K	31/70	
	B3	WO 92/03456	03/05/92	PCT	C07H	15/12	
	B4	WO 92/18522	10/29/92	PCT	C07H	21/00	
	B5	WO 92/21353	12/10/92	PCT	A61K	31/70	
	B6	0302758 B1	03/16/94	EPO	C12N	15/37	
	B7	WO 94/19945	09/15/94	PCT	A01N	43/04	
	B8	WO 95/05853	03/02/95	Regents of the University of CA			
	B9	WO 95/26204	10/95	PCT	A61K	48/00	
	B10	WO 96/02555	02/01/96	PCT			
	B11	WO 96/35782	11/14/96	Applied Research Systems			
	B12	WO 97/28259	08/07/97	PCT	C12N	15/00	
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	B14	WO 98/37919	09/03/98	PCT	A61K	49/00	
	B15	WO 98/40100	09/17/98	PCT	A61K	39/39	
✓	B16	WO 98/52581	11/26/98	PCT	A61K	35/00	
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(Including Author, Title, Date, Pertinent Pages, Publication, Etc.)

✓	C1	Adya N et al., Expansion of CREB's DNA recognition specificity by Tax results from interaction with Ala-Ala-Arg at positions 282-284 near the conserved DNA-binding domain of CREB. <i>Proc Natl Acad Sci USA</i> 91(12):5642-6, 7 Jun 1994.
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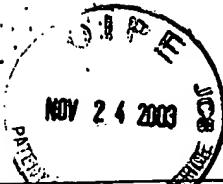


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D	C3	Azad RF et al., Antiviral Activity of a Phosphorothioate Oligonucleotide Complementary to RNA of the Human Cytomegalovirus Major Immediate-Early Region. <i>Antimicrobial Agents and Chemotherapy</i> , 37:1945-1954, September, 1993.	TECH CENTER 1600 10/08/2003 NOV 28 2003
	C4	Azuma, Biochemical and Immunological Studies on Cellular Components of Tuberle Bacilli, <i>Kekkaku</i> , Vol. 73, 9:45-55, 1992.	
	C5	Ballas ZK et al., Induction of NK activity in murine and human cells by CpG motifs in oligodeoxynucleotides and bacterial DNA. <i>J Immunol</i> 157(5):1840-5, 1996.	
	C6	Bayever, E., Systemic Administration of a Phosphorothioate Oligonucleotide with a Sequence Complementary to p53 for Acute Myelogenous leukemia and Myelodysplastic Syndrome: Initial Results of a Phase I Trial, <i>Antisense Res. & Dev.</i> (1993), 3:383-390.	
	C7	Bennett RM et al., DNA binding to human leukocytes. Evidence for a receptor-mediated association, internalization, and degradation of DNA. <i>J Clin Invest</i> 76(6):2182-90, 1985.	
	C8	Berg DJ et al., Interleukin-10 is a central regulator of the response to LPS in murine models of endotoxic shock and the Shwartzman reaction but not endotoxin tolerance. <i>J Clin Invest</i> 96(5):2339-47, 1995.	
	C9	Blanchard DK et al., Interferon-gamma induction by lipopolysaccharide: dependence on interleukin 2 and macrophages. <i>J Immunol</i> 136(3):963-70, 1986.	
	C10	Blaxter et al., Genes expressed in Brugia malayi infective third stage larvae. <i>Molecular and Biochemical Parasitology</i> , 77:77-93.	
	C11	Boggs RT et al., Characterization and modulation of immune stimulation by modified oligonucleotides. <i>Antisense Nucleic Acid Drug Dev</i> 7(5):461-71, Oct 1997.	
	C12	Branda RF et al., Amplification of antibody production by phosphorothioate oligodeoxynucleotides. <i>J. Lab Clin Med</i> 128(3):329-38, Sep 1996.	
	C13	Branda et al., Immune Stimulation by an Antisense Oligomer Complementary to the rev gene of HIV-1. <i>Biochemical Pharmacology</i> , Vol. 45, 10:2037-2043, 1993.	
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	C17	Chu RS et al., CpG oligodeoxynucleotides act as adjuvants that switch on T helper 1 (Th1) immunity. <i>J Exp Med</i> 186(10):1623-31, 17 Nov 1997.	
	C18	Chow Y et al., Improvement of Hepatitis B Virus DNA Vaccines by Plasmids Coexpressing Hepatitis B Surface Antigen and Interleukin-2, <i>Journal of Virology</i> , Vol. 71, No. 1, pp. 169-178, Jan. 1997.	
	C19	Chow Y et al., Development of Th1 and Th2 Populations and the Nature of Immune Responses to Hepatitis B Virus DNA Vaccines Can Be Modulated by Codelivery of Various Cytokine Genes, <i>The Journal of Immunology</i> , 160:1320-1329, 1998.	
	C20	Corr M et al., Gene Vaccination with Naked Plasmid DNA: Mechanism of CTL Priming, <i>J. Exp. Med.</i> , Vol. 184, 155-1560, October 1996.	
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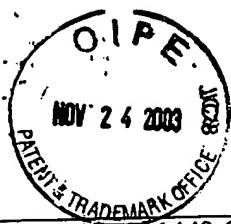


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D	C25	Daheshia M et al., Immune induction and modulation by topical ocular administration of plasmid DNA encoding Antigens and cytokines, <i>Vaccine</i> , Vol. 16, No. 11/12, pp. 1103-1110, 1998.	NOV 26 2003 RECEIVED U.S. PATENT AND TRADEMARK OFFICE SEARCH CENTER 12012003
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	C32	Gura, T., Antisense Has Growing Pains. <i>Science</i> (1995), 270:575-576.	
	C33	Hadden J et al., Immunostimulants. <i>TIPS</i> , (1993), 14:169-174.	
	C34	Hadden J et al., Immunopharmacology, <i>JAMA</i> , (1992) 268:20:2964-2969.	
	C35	Halpern MD et al., Bacterial DNA induces murine interferon-gamma production by stimulation of interleukin-12 and tumor necrosis factor-alpha. <i>Cell Immunol</i> 167(1):72-8, 1996.	
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	C37	Heppner et al., Safety, Immunogenicity, and Efficacy of <i>Plasmodium falciparum</i> Repeatless Circumsporozoite Protein Vaccine Encapsulated in Liposomes, <i>JID</i> , 174, pp. 361-366, August 1996.	
	C38	Highfield PE, Sepsis: the More, the Murkier. <i>Biotechnology</i> , 12:828, August 12, 1994.	
	C39	Hoeffler JP et al., Identification of multiple nuclear factors that interact with cyclic adenosine 3',5'-monophosphate response element-binding protein and activating transcription factor-2 by protein-protein interactions. <i>Mol Endocrinol</i> 5(2):256-66, Feb 1991.	
	C40	Horspool JH et al., Nucleic Acid Vaccine-Induced Immune Responses Require CD28 Costimulation and Are Regulated by CTLA4, <i>The Journal of Immunology</i> , 160:2706-2714, 1998.	
	C41	Iguchi-Ariga SM and Shaffner W, CpG methylation of the cAMP-responsive enhancer/promoter sequence TGACGTCA abolishes specific factor binding as well as transcriptional activation. <i>Genes Dev</i> 3(5):612-9, May 1989.	
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	C43	Ishikawa R et al., IFN induction and associated changes in splenic leukocyte distribution. <i>J Immunol</i> 150(9):3713-27, 1 May 1993	
	C46	Kim JJ et al., In Vivo Engineering of a Cellular Immune Response by Coadministration of IL-12 Expression Vector With a DNA Immunogen, <i>The Journal of Immunology</i> , 158:816-826, 1997.	
	C47	Kimura Y et al., Binding of Oligoguanylate to Scavenger Receptors Is Required for Oligonucleotides to Augment NK Cell Activity and Induce IFN, <i>J. Biochem.</i> , Vol. 116, 5:991-994, 1994.	
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<p style="text-align: right;">RECEIVED TECH CENTER 1800/2000 NOV 28 2003</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 10%;">C50</td><td>Kline JN et al., CpG oligonucleotides can reverse as well as prevent Th2-mediated inflammation in a murine model of asthma. <i>J Invest Med</i> 45(7):298A, 1997.</td></tr> <tr><td>C51</td><td>Klinman DM et al., Contribution of CpG Motifs to the Immunogenicity of DNA Vaccines, <i>The Journal of Immunology</i>, 158:3635-3639, 1997.</td></tr> <tr><td>C52</td><td>Klinman DM et al., CpG motifs present in bacteria DNA rapidly induce lymphocytes to secrete interleukin 6, interleukin 12, and interferon gamma. <i>Proc Natl Acad Sci USA</i> 93(7):2879-83, 1996.</td></tr> <tr><td>C53</td><td>Krieg AM, An innate immune defense mechanism based on the recognition of CpG motifs in microbial DNA. <i>J Lab Clin Med</i> 128(2):128-33, 1996.</td></tr> <tr><td>C54</td><td>Krieg AM et al., Uptake of oligodeoxyribonucleotides by lymphoid cells is heterogeneous and inducible. <i>Antisense Res Dev</i> 1(2):161-71, Summer 1991.</td></tr> <tr><td>C55</td><td>Krieg AM et al., Oligodeoxynucleotide modifications determine the magnitude of B cell stimulation by CpG motifs. <i>Antisense Nucleic Acid Drug Dev</i> 6(2):133-9, Summer 1996.</td></tr> <tr><td>C56</td><td>Krieg AM et al., "Modification of antisense phosphodiester oligodeoxynucleotides by a 5' cholesteryl moiety increases cellular association and improves efficacy", <i>Proc. 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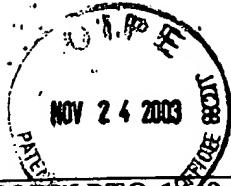
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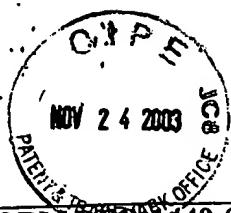
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